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PATENTS
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Andrew C. Gilbert
Application No. : 10/042,371 Confirmation No.: 6761
Filed : December 27, 2001
For : SYSTEMS AND METHODS FOR CREATING AND
TRADING DYNAMIC SECURITIES
Group Art Unit : 2164
Examiner : Not Yet Assigned

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FEB 04 2003

OFFICE OF PETITIONS

New York, New York 10020
January 22, 2003

Hon. Commissioner for Patents
P.O. Box 2327
Arlington, Virginia 22202

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JAN 31 2003

GROUP 3600

PRELIMINARY AMENDMENT

Sir:

Preliminary to examination of the above-identified
application, please amend the application as follows:

In the Claims:

Please replace claims 12-17 with the following
amended versions of those claims.